



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/835,264	04/13/2001	Rebecca Wanta	WELL0014	4998
22862	7590	12/07/2005	EXAMINER	
GLENN PATENT GROUP			NGUYEN, NGA B	
3475 EDISON WAY, SUITE L			ART UNIT	
MENLO PARK, CA 94025			PAPER NUMBER	

3628

DATE MAILED: 12/07/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/835,264

Applicant(s)

WANTA ET AL.

Examiner

Nga B. Nguyen

Art Unit

3628

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 13 April 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-35 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-35 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. This Office Action is the answer to the communication filed on April 13, 2001, which paper has been placed of record in the file.
2. Claims 1-35 are pending in this application.

Claim Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-35 are rejected under 35 U.S.C. 103(a) as being unpatentable over the prior art disclosed in the applicant's Specification, in view of Hoover et al (hereinafter Hoover), U.S. Patent No. 5,724,575.

Regarding to claim 1, The prior art discloses a method for creating a banking information management system comprising the steps of: evaluating the data processing needs of a plurality of business units in a bank wherein said evaluation comprises identification of: data to be processed; algorithms to be applied to said data; inputs to be received from the banking unit; data products to be used internally within the banking unit; data products that must be delivered to other banking units; and data products that must be delivered to other entities outside of the bank (see Specification, pages 1-2, 7-9 and figures 1-2).

The prior art does not disclose segregating the data processing needs of each of the plurality of business units in the bank into a plurality of functional modules; defining the behavior of each of said functional modules; and defining the interaction of each of said functional modules with other said functional modules. However, Hoover discloses segregating the data processing needs of each of the plurality of business units into a plurality of functional modules; defining the behavior of each of said functional modules; and defining the interaction of each of said functional modules with other said functional modules (figures 1-2 and columns 21-28, the object broker computer is interconnected with the plurality user computers, the object broker computer is the entity primarily responsible for imposing organization upon the various types of objects and instances of objects that are created in modeling a given institution). Therefore, it would have been obvious to one with ordinary skill in the art at the time the invention was made to modify the prior art disclosed in the applicant's Specification to adopt the teaching of Hoover above for the purpose of providing a distributed database computer system that overlays a homogeneous data model upon a plurality of possibly remotely located and possibly heterogeneous database systems of structures, so as to facilitate the retrieval and synchronization of information in a global fashion.

Regarding to claims 2-3, Hoover further discloses categorizing each of said functional modules as either a client or as an object used by any one client; initiating a plurality of client applications each of which is an autonomous process that interacts either with a human user or another client process; initiating an

Art Unit: 3628

object request broker or event that: receives a request for service from one of the plurality of client applications; identifies an object that can support the service request; policies the form of the client request to ensure it is compatible with the form required by said identified object; initiates a new instance of the identified object; and creates a communications channel between the client requesting service and the identified object; allowing the object identified by the object request broker or event to receive the service request from the client using said communications channel; and allowing the client to receive the results from the object using said communications channel (columns 21-28). See claim 1 for the same motivation.

Regarding to claims 4-17, Hoover further discloses wherein said object request broker or event is hosted on a computer accessible to the client by means of a computer network; wherein the object request broker or event initiates a new instance of the identified object on a computer accessible to the client by means of a computer network; wherein the object request broker or event is compliant with the common object request broker architecture and middleware event management standards; associating a name with each of said functional modules that are categorized as objects; defining an event service level for each of said functional modules that are categorized as objects; wherein the event service level is one of the following: synchronous call, deferred call, or asynchronous message based; defining the life cycle for each of said functional modules that are categorized as objects; wherein the life cycle is defined by a first variable that can take one of the following states: persistent; or temporal, and

Art Unit: 3628

a second variable that can take on one of the following states: transient, or resident; concurrency requirements for each of categorized as objects; defining the relationship structure for each of said functional modules that are categorized as objects; defining the externalization structure for each of said functional modules that are categorized as objects; wherein the definition of the behavior of each of said functional modules comprises an object definition compliant with an object request broker or OMG JZEE standard; wherein the definition of the interaction of each of said function modules comprises an interface definition compliant with an object request broker or OMG JZEE standard; identifying those functional modules categorized as direct interaction with a human user; and defining a man machine interface for each of said clients (see the entire patent of Hoover). See claim 1 for the same motivation.

Regarding to claims 18-20, The prior art further discloses wherein the functional modules categorized as clients that have a direct interaction with a human user are hosted on personal workstation that is used by a bank teller, are hosted on a personal digital assistant, are hosted on an automated teller machine (Specification, pages 1-2, 7-9 and figures 1-2).

Regarding to claim 21, The prior art discloses a banking information management system comprising: a plurality of client applications (see Specification, pages 1-2, 7-9 and figures 1-2).

The prior art does not disclose a plurality of business objects, object request broker, JZEE, and standard XML message sets. However, Hoover discloses a plurality of business objects, object request broker (figures 1-2 and

Art Unit: 3628

columns 21-28, the object broker computer is interconnected with the plurality user computers, the object broker computer is the entity primarily responsible for imposing organization upon the various types of objects and instances of objects that are created in modeling a given institution). Moreover, the management system comprises JZEE and standard XML message sets is well known in the art. Therefore, it would have been obvious to one with ordinary skill in the art at the time the invention was made to modify the prior art disclosed in the applicant's Specification to adopt the teaching of Hoover and well known features above for the purpose of providing a distributed database computer system that overlays a homogeneous data model upon a plurality of possibly remotely located and possibly heterogeneous database systems of structures, so as to facilitate the retrieval and synchronization of information in a global fashion.

Claims 22-35 contain similar limitations found in claims 1-20 above, therefore, are rejected by the same rationale.

Conclusion

5. Claims **1-35** are rejected.
6. The prior arts made of record and not relied upon is considered pertinent to applicant's disclosure:

Chessell et al. (US 6,345,316) disclose applying the Object Request Broker (CORBA) in the banking system.

Chessell et al. (US 6,374,283) disclose applying the Object Request Broker (CORBA) in the banking system.

Art Unit: 3628

Foster et al. (US 6,178,440) disclose the system having an object request broker for receiving work request and for dispatching them for execution within the computer system.

Bowman-Amuah (US 6,539,396) discloses Multi-object identifier system and method for information service pattern environment, and the use of the Object Request Broker (see figure 21).

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to examiner Nga B. Nguyen whose telephone number is (571) 272-6796. The examiner can normally be reached on Monday-Thursday from 9:00AM-6:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyung S. Sough can be reached on (571) 272-6799.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (571) 272-3600.

8. Any response to this action should be mailed to:

Commissioner of Patents and Trademarks
C/o Technology Center 3600
Washington, DC 20231

Or faxed to:

(571) 273-8300 (for formal communication intended for

entry),

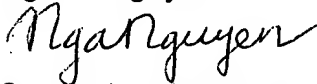
or

Art Unit: 3628

(571) 273-0325 (for informal or draft communication,
please label "PROPOSED" or "DRAFT").

Hand-delivered responses should be brought to Knox building, 501
Dulany Street, Alexandria, VA, First Floor (Receptionist).

Nga B. Nguyen

A handwritten signature in cursive script that reads "Nga B. Nguyen".

September 19, 2005